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Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. GJE-21D2  
First Inventor or Application Identifier John Sinden  
Title Neural Transplantation Using Pluripotent Cells  
Express Mail Label No. EK507535423US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☒ \* Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- ☒ Specification [Total Pages 38]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 20]
- Oath or Declaration [Total Pages 3]
  - ☐ Newly executed (original or copy)
  - ☒ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)
    - ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

- ☐ Microfiche Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - ☐ Computer Readable Copy
  - ☐ Paper Copy (identical to computer copy)
  - ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 C.F.R. § 3.73(b) Statement of Power of Attorney (when there is an assignee)
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS Citations]
- ☒ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
- ☐ \* Small Entity Statement(s) [X] Statement filed in prior application, Status still proper and desired (PTO/SB/09-12)
- ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
- ☐ Other

\* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

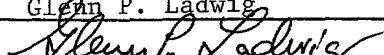
☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. 09,672,606  
Prior application information. Examiner Group / Art Unit: 1633

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

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|-------------------|---|-----------------------------------|------------------|
| Name (Print/Type) | Glenn P. Ladwig   | Registration No. (Attorney/Agent) | 46,853           |
| Signature         |  | Date                              | January 12, 2001 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

## FEE TRANSMITTAL FORM

Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

Sir:

Transmitted herewith for filing is the patent application of:

Inventor(s): John Sinden, Jeffrey A. Gray, Helen Hodges, Timothy Kershaw, Fiza Rashid-Doubell

Entitled: Neural Transplantation Using Pluripotent Neuroepithelial Cells

- A Utility Patent Application Transmittal Form accompanies this Fee Transmittal Form.
- The filing fee is calculated below:

| CLAIMS AS FILED                                     |              |              |        |            |
|---|--------------|--------------|--------|------------|
|   | Number filed | Number Extra | Rate   | Fee        |
| Basic Fee   |              |              |        | \$ 355.00  |
| Total Claims  | 56 - 20 =    | 36           | x \$09 | 324.00     |
| Independent Claims                                  | 13 - 3 =     | 10           | x \$40 | 400.00     |
| Presentation of Multiple Dependent Claim(s) (\$165) |              |              |        | 0          |
| Total Filing Fee                                    |              |              |        | \$ 1079.00 |

- Please charge \$ 1079.00 to Deposit Account No. 19-0065. A duplicate copy of this sheet is enclosed.
- The Commissioner is hereby authorized to charge any additional filing fees which may be required, or credit any overpayment, to Deposit Account No. 19-0065. A duplicate copy of this sheet is enclosed.
- This application is being mailed by Express Mail under 37 CFR 1.10 and the required certificate appears below.

Date January 12, 2001

Steven P. Ludwig  
Attorney of Record

## CERTIFICATE OF MAILING BY EXPRESS MAIL (37 CFR 1.10)

Express Mail No. EK50753542305 Date of Deposit: January 12, 2001

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

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Name of person mailing paper

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Signature